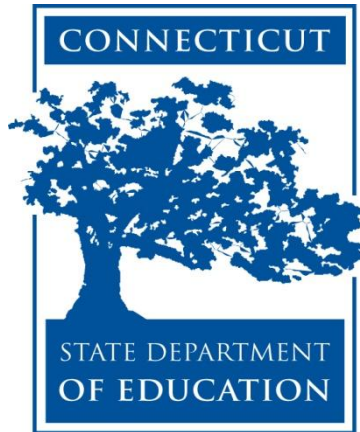


CONNECTICUT STATE DEPARTMENT OF EDUCATION  
BUREAU OF ACCOUNTABILITY AND IMPROVEMENT



ALLIANCE DISTRICT APPLICATION FOR STATE EDUCATION COST SHARING FUNDS  
2012-13

Purpose: To provide state grants to eligible districts pursuant to Public Act 12-116

**Application is due no later than 4:00 p.m. on August 15, 2012**

**Submission of applications by the early deadline of July 13, 2012 is encouraged**

# **CONNECTICUT STATE DEPARTMENT OF EDUCATION**

## **STEFAN PRYOR COMMISSIONER OF EDUCATION**

### **Nondiscrimination Statement**

The State of Connecticut Department of Education is committed to a policy of equal opportunity/affirmative action for all qualified persons. The Department of Education does not discriminate in any employment practice, education program, or educational activity on the basis of race, color, religious creed, sex, age, national origin, ancestry, marital status, sexual orientation, gender identity or expression, disability (including, but not limited to, intellectual disability, past or present history of mental disorder, physical disability or learning disability), genetic information, or any other basis prohibited by Connecticut state and/or federal nondiscrimination laws. The Department of Education does not unlawfully discriminate in employment and licensing against qualified persons with a prior criminal conviction. Inquiries regarding the Department of Education's nondiscrimination policies should be directed to:

Levy Gillespie  
Equal Employment Opportunity Director  
Title IX /ADA/Section 504 Coordinator  
State of Connecticut Department of Education  
25 Industrial Park Road  
Middletown, CT 06457  
860-807-2071

**AN EQUAL OPPORTUNITY/AFFIRMATIVE ACTION EMPLOYER.**

**Part I: Submission Instructions**

**A. Application Completion**

- 1. Review and follow all directions carefully when completing this application.
- 2. Clearly label all attachments as specified in the application.

**B. Application Deadline**

Applications, irrespective of postmark or email date, must be received by 4:00 p.m. on or before Wednesday, August 15, 2012. All submissions must include one original and three (3) additional paper copies. An electronic copy should also and be emailed to Lol Fearon.

Applications will be considered on a rolling basis and feedback will be provided through an iterative process. Districts are encouraged to submit applications in by the early submission deadline of July 13, 2012 to allow time for feedback and potential resubmission.

PLEASE NOTE: All applications become the property of the Connecticut State Department of Education (CSDE) and are subject to the rules of the Freedom of Information Act.

**C. Mailing and Delivery Information**

Please email electronic versions in .pdf format to Lol Fearon: lol.fearon@ct.gov.

<u>Mailing Address:</u> Connecticut State Department of Education Bureau of Accountability and Improvement P.O. Box 2219, Room 227 Hartford, CT 06145-2219 Attention: Lol Fearon, Bureau Chief	<u>Overnight Mailing and Hand Delivery Address:</u> Connecticut State Department of Education Bureau of Accountability and Improvement 165 Capitol Avenue, Room 227 Hartford, CT 06106 Attention: Lol Fearon, Bureau Chief
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#### **D. Timeline**

Process	Date
Information about Alliance Districts sent to LEAs	May 25, 2012
Connecticut State Board of Education approval of guidelines	June 6, 2012
Informational meeting with eligible districts	June 11, 2012
Submission of applications; feedback and approvals provided to applicants on rolling basis	June – August, 2012
Early submission deadline; preliminary submissions encouraged	July 13, 2012
Application final due date	August 15, 2012
Projected date for awarding funding - conditional upon approval of plans	September 2012
CSDE monitoring of plan implementation and preparation of year 2 applications	September 2012 – August 2013

#### **E. Application Approval Notice**

Approvals will be granted through the summer, with a goal of districts receiving approval by August 31, 2012, if feasible. The iterative process may require more time for some districts.

#### **F. Questions**

All questions regarding the Alliance application process should be directed to:

Lol Fearon  
Bureau Chief  
Bureau of Accountability and Improvement  
Connecticut State Department of Education  
Telephone: (860) 713-6705  
Email: [lol.fearon@ct.gov](mailto:lol.fearon@ct.gov)

## **Part II: Alliance District Overview**

### **A. Introduction**

Public Act 12-116 establishes a process for identifying 30 Alliance Districts – the districts with the lowest district performance index scores statewide – and allocates to these districts \$39.5 million in increased Education Cost Sharing (ECS) funding in the upcoming fiscal year. The Alliance District program is intended to help districts raise student performance and close the achievement gap. Each district's receipt of its designated allocation is conditioned upon district submission, and CSDE approval, of an Alliance District Plan for the expenditure of this new increment of conditional funds in the context of the district's overall strategy to improve academic achievement.

Alliance District Plans are locally conceived, evidence-based reform plans that propose detailed initiatives for improving student achievement. Plans must propose reform activity over the entire five-year period of the Alliance District designation and include specific, multi-year objectives and performance targets. The State Department of Education will review each Plan on an annual basis, and approve plans that align with the goals of the program. Approval of plans in years two through five will be predicated upon progress towards the described performance targets, among other factors.

Proposals for the use of Alliance District funding will be considered in the context of the quality of the overall strategy for reform proposed in the Plan, as well as the degree of alignment between the proposed use of funds and the overall strategy.

### **B. Eligibility Requirements**

Only districts listed in Appendix A are eligible to apply for Alliance District Education Cost Sharing funds.

### **C. Responsibilities of Approved Applicants**

Each approved applicant must:

1. work cooperatively with the CSDE team;
2. provide any information that the CSDE requests in a timely manner; and
3. cooperate with the fiscal and programmatic compliance reviews that the CSDE will conduct.

### **D. Review of Applications**

The Department will issue approvals using an iterative process and will provide technical assistance to districts whose plans are not immediately approved.

## **E. Application Procedure**

The materials in this section provide a summary of the components of an Alliance District Plan and provide guidance regarding the overarching concepts introduced in the Alliance District application process. The application begins in Part III. The application is divided into three sections; all three sections are required.

### Section I: Overall District Improvement Strategy

This section requires Alliance Districts to describe a long-term, district-wide strategy. Districts must also describe key individual reform initiatives in the context of their overall approach to improving student performance and narrowing the achievement gap.

### Section II: Differentiated School Interventions

This section requires Alliance Districts to articulate a tiered approach to school intervention based upon relative school performance and needs, and to address obligations to intervene in low performing schools created by Connecticut's approved NCLB waiver.

### Section III: Budget

This section requires districts to show that they have aligned Alliance District and other funding sources to the reform initiatives outlined in the above two sections. Districts should also describe how efficiencies identified by the District, and funds from other sources, are leveraged to maximize the impact of Alliance District dollars. Detailed budgetary information is required for year one initiatives. In addition, districts must show planned expenditures for Alliance District funds for each year of Alliance District designation. Forms have been included in a separate Excel document.

## **F. Use of Evidence and Data**

Alliance District Plans must document student performance areas of greatest concern and include an evidence-based explanation of how the use of Alliance District funds will lead to improved student performance. Acceptable applications will demonstrate a strong connection between the actions proposed in the plan and improved student performance in identified areas of concern.

## **G. Substantial Majority Requirement**

Alliance District funding is intended to initiate new reforms and expand existing programs of reform.

Districts must reserve the substantial majority of conditional funding for new reform efforts, or the expansion of existing reform efforts, that are directly linked to improving student achievement.

Districts may consult with the Bureau of Accountability and Improvement for additional guidance on this point.

## **H. Menu of District Reform Initiatives**

Below is a menu of options that is intended to guide the selection of reform programs:

- Ways to strengthen the foundational programs in reading to ensure reading mastery in kindergarten through grade three with a focus on standards and instruction, proper use of data, intervention strategies, current information for teachers, parental engagement, and professional development for teachers;
- Additional learning time, including extended school day or school year programming administered by school personnel or external partners;
- A talent strategy that includes, but is not limited to, teacher and school leader recruitment and assignment, career ladder policies that draw upon guidelines for a model teacher evaluation program adopted by the State Board of Education, pursuant to section 10-151b of the general statutes, and adopted by each local or regional board of education. Such talent strategy will include provisions that demonstrate increased ability to attract, retain, promote and bolster the performance of staff in accordance with performance evaluation findings and, in the case of new personnel, other indicators of effectiveness;
- Training for school leaders and other staff on new teacher evaluation models;
- Provisions for the cooperation and coordination with early childhood education providers to ensure alignment with district expectations for student entry into kindergarten, including funding for an existing local Head Start program;
- Provisions for the cooperation and coordination with other governmental and community programs to ensure that students receive adequate support and wraparound services, including community school models;
- Any other programs of reform, subject to approval by the Commissioner.

In addition to the plan components listed above, the Department encourages school districts to think creatively to combine conditional Alliance District funding with other resources, to leverage Alliance District dollars to identify and leverage efficiencies, to seek additional resources, and to find innovative ways to use the conditional funding to design their school reform programs.

## **I. Competitive Opportunities**

Certain reform initiatives offer the opportunity for a district to partner with external institutions, which will facilitate the planning and implementation process with additional guidance and, in some cases, additional funding. Districts may choose to engage in a competitive process for participation in these external partnerships. Competitive opportunities operate on an expedited timeline. For guidance on these opportunities, see the supplementary materials or contact the Bureau of Accountability and Improvement to obtain materials.

Connecticut State Department of Education  
Alliance District Application: 2012-13  
COVER SHEET

Name of District:		
Name of Grant Contact:		
Phone:	Fax:	Email:
Address of Grant Contact:		
Name of Superintendent:		
Signature of Superintendent:		
Name of Board Chair:		
Date:		
Signature of Board Chair:		
Date:		
<p>Please indicate if plan approved by local board of education: ____</p> <p>Date of Approval: _____</p> <p>If not, please indicate date at which plan will be presented to local board of education: _____</p> <p>Note: Due to the iterative process by which Alliance District Plans will be submitted, reviewed, returned, and re-submitted, seeking local board of education approval may be most appropriate toward the conclusion of the application process.</p> <p>Districts must obtain board approval, but should submit completed plans regardless of whether approval has been obtained.</p>		



**Part III: Application**

**Section I: Overall District Improvement Strategy**

Districts are required to articulate a multi-year, district-wide strategy for improvement, the ultimate goal of which should be to improve student performance and to narrow the achievement gap.

**A. Overall Strategy and Key Reform Initiatives: Narrative Questions**

Please respond in brief narrative form to the following questions regarding your district’s overall strategy and key reform initiatives.

1. What is your district’s overall approach toward improving student performance and closing the achievement gap?

2. Describe the rationale for the selection of the district’s prioritized reform initiatives, including how such selection reflects data on identified student needs and the use of evidence-based initiatives.

3. List the multi-year, measurable performance targets that will be used to gauge student success. What metrics, including ways to monitor student outcomes and indicators of district and school personnel activity, will be put in place to track progress towards performance targets?

4. How will reform initiatives interact/coordinate with other resources (e.g., Title I, Part A; Title II, Part A Teacher Quality; Title III, Part A English Language Acquisition funds; Priority School District funds; Summer School funds; philanthropic funds)?

5. Please indicate how the District consulted with relevant stakeholders regarding the development of the Alliance District Plan by including a list of all stakeholders with which you have consulted and a brief description of the input received from each group.

**B. Key District Initiatives**

Using the following chart, please provide a description of each key individual reform initiative – both existing programs and those planned through the Alliance District process and other planning processes – that the district will undertake in the next five years in service of its overall strategy. Districts should include a separate chart for each key initiative.

- **Overview:** Please describe the initiative briefly, including the purpose of the planned activities and their underlying rationale. Please indicate whether the initiative is drawn from the menu of reform options provided in this application.

If proposing to expand an existing reform and the existing reform has, in the past, led to increases in student performance, please describe the extent to which the reform has improved student performance and include supporting data.

If proposing to expand an existing reform and the existing reform has not led to increases in student achievement, please describe how the current proposal differs from previous reform efforts, and why it is likely to succeed where the previous effort did not.

- **Five Year Strategies and Implementation Steps:** List the steps the district will take over the next five years to implement the initiative.
- **Year One Implementation Steps Description:** Describe in greater detail the implementation steps that will occur in the 2012-13 school year.
- **Years of Implementation:** Indicate the anticipated length of the proposed initiative.

<div>Key District Initiative</div> <div>Please copy/paste template on the following pages for each additional reform initiative.</div>	
New or Existing Reform?	<div><input type="checkbox"/> New</div> <div><input type="checkbox"/> Existing</div>
Overview:	
Five Year Strategies and Implementation Steps:	
Year 1 Implementation Steps Description:	
<div>Years of Implementation:</div> <div><input type="checkbox"/> Year 2</div> <div><input type="checkbox"/> Year 3</div> <div><input type="checkbox"/> Year 4</div> <div><input type="checkbox"/> Year 5</div>	

## **Section II: Differentiated School Interventions**

### **Connecticut's Approved NCLB Waiver and Requirement of Tiered Approach to School Achievement**

Connecticut's recently approved application for a waiver from certain provisions of No Child Left Behind (NCLB) created a modified set of obligations for school districts to intervene in their schools on a tiered, differentiated basis.

To facilitate Alliance Districts' ability to create a strategy consistent with their obligations under both Connecticut's NCLB waiver and the Alliance District conditional funding process, the CSDE is providing information in this subsection on the specific obligations created by the waiver.

Alliance District Plans must propose differentiated interventions for schools. Districts have the option of funding these interventions using their allocations of Alliance District funds, but it is not required that Alliance District funding be used for this purpose.

Districts must tier their schools and explain overall strategies for improving student achievement within each tier.

Districts must also provide specific reform plans for low performing schools in three phases as described below.

#### **1. Phase I: Interventions in Focus Schools – 2012-13**

As a condition of Connecticut's NCLB waiver, districts are required to develop and implement interventions in certain low performing schools. Pursuant to the waiver, schools with certain low performing subgroups will be identified as Focus Schools. District-specific lists of Focus Schools have been provided in a separate document. Plans must be in place and operational at Focus Schools in the 2012-13 school year. For a list of recommended initiatives, see Part II, Subsection H. Districts must provide evidence that they have engaged in a process of strategic redesign and targeted intervention, and that they will monitor student progress and revise their plans on the basis of data gathered from the monitoring process for the duration of the Alliance District designation.

#### **2. Phase II and III: Low Performing Schools – 2013-14 and 2014-15**

Low performing schools that are not Focus Schools or Turnaround Schools must receive targeted interventions in the 2013-14 and 2014-15 school years. District-specific lists of these low performing schools have been provided in a separate document. Districts must select a subset of these schools (at least half) to begin interventions in 2013-14. If, in the judgment of the district, interventions can feasibly be implemented in all low performing schools in 2013-14, then districts may intervene in all low-performing schools in 2013-14. Any remaining low performing schools must receive interventions in 2014-15. In this part of the application, districts must provide an explanation of the process they will engage in during the 2012-13 school year to support these Phase II schools as they diagnose and plan for the interventions that will be implemented in the following year. This section of the application does not require

a plan for the school-specific interventions themselves, as these will be developed over the course of the next year.

### 3. Differentiated School Intervention Timeline

Stages of School Improvement	Date
<b><i>Phase I Interventions: Focus Schools (2012-13)</i></b>	
Districts create redesign plans for interventions in Focus Schools	June –Aug. 2012
Districts begin to implement interventions/redesigns in Focus Schools	Sept. 2012
<b><i>Phase II Interventions: Other low performing schools (2013-14)</i></b>	
Districts conduct needs assessments in at least half of other low performing schools	Sept. – Dec. 2012
Districts create redesign plans for interventions in at least half of other low performing schools	Jan. – June 2013
Districts implement interventions in at least half of other low performing schools	Sept. 2013
<b><i>Phase III Interventions: Other low performing schools (2014-15)</i></b>	
Districts conduct needs assessments/ analyses in other low performing schools	Sept. – Dec. 2013
Districts create redesign plans for interventions in remaining low performing schools	Jan. – June 2014
Districts implement interventions in other low performing schools	Sept. 2014

Districts may consult with the Bureau of Accountability and Improvement for additional guidance on this process.

#### A. Tiered Approach to School Improvement

Please address how your district has designed a tiered intervention system for schools based on their needs. This section relates to all schools in the district, and asks you to think strategically about how to best meet the needs of schools performing at different levels. This may involve removing requirements that place an undue burden on schools that are performing well or showing substantial progress. This section does not require an individualized description of your interventions in specific schools, but instead asks for your overall strategy to improve performance for students in different tiers of schools. In the space below, describe the process used to tier schools and the approach that your district will take to support each tier of schools.

If the CSDE identified any of the district’s schools as Turnaround, Focus, or Review, these schools must be included in the “Schools that require most significant support and oversight” category. The district is, however, welcome to include more schools in this tier. If the CSDE did not identify any of the district’s schools as Turnaround, Focus, or Review, then the district may use its own judgment to determine whether any schools should be classified in this tier.

Even if a district's schools have similar performance as measured by the SPI, we encourage the district to use other factors – potentially including graduation rates, growth, progress over time, and subgroup performance – to tier schools and develop differentiated strategies for support and intervention.

Tier	List of Schools in Tier	Classification Criteria for schools in Tier	District Approach to Supporting Schools in Tier
<p><b><i>Schools that require the least support and oversight/should be given the most freedom:</i></b>            These schools should be identified because of their high performance and/or progress over time.</p>			<p>Leadership:  <input data-bbox="1019 478 1430 512" type="text"/></p> <p>Instruction/Teaching:  <input data-bbox="1019 573 1430 606" type="text"/></p> <p>Effective Use of Time:  <input data-bbox="1019 667 1430 701" type="text"/></p> <p>Curriculum:  <input data-bbox="1019 762 1430 795" type="text"/></p> <p>Use of Data:  <input data-bbox="1019 856 1430 890" type="text"/></p> <p>School Environment:  <input data-bbox="1019 951 1430 984" type="text"/></p> <p>Family and Community:  <input data-bbox="1019 1045 1430 1079" type="text"/></p>
<p><b><i>Schools that require moderate support and oversight:</i></b>            These schools should be identified because they are not yet high performing but do not require interventions as intensive as lower tier schools.</p>			<p>Leadership:  <input data-bbox="1019 1215 1430 1249" type="text"/></p> <p>Instruction/Teaching:  <input data-bbox="1019 1310 1430 1344" type="text"/></p> <p>Effective Use of Time:  <input data-bbox="1019 1404 1430 1438" type="text"/></p> <p>Curriculum:  <input data-bbox="1019 1499 1430 1533" type="text"/></p> <p>Use of Data:  <input data-bbox="1019 1593 1430 1627" type="text"/></p> <p>School Environment:  <input data-bbox="1019 1688 1430 1722" type="text"/></p> <p>Family and Community:  <input data-bbox="1019 1782 1430 1816" type="text"/></p>

<p><b><i>Schools that require most significant support and oversight:</i></b></p> <p>If your district contains Focus, Turnaround, or Review schools, these schools have been provided to you by the CSDE (as measured by the School Performance Index and 4-year graduation rates).</p>			<p>Leadership:  <input type="text"/></p> <p>Instruction/Teaching:  <input type="text"/></p> <p>Effective Use of Time:  <input type="text"/></p> <p>Curriculum:  <input type="text"/></p> <p>Use of Data:  <input type="text"/></p> <p>School Environment:  <input type="text"/></p> <p>Family and Community:  <input type="text"/></p> <p>Districts with Focus and/or other Category Four or Five schools please disregard this cell. Instead, fill out Phase I and Phase II specific forms below.</p>
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## B. Interventions in Low Performing Schools

### 1. Phase I – Focus Schools (2012-13 School Year)

For each Focus School in your district, create a school redesign plan using the template below. For any additional Focus Schools, please copy/paste this template in the following pages.

<b>Focus School:</b>	<b>Grades Served:</b>	<b># of Students:</b>
<b>Diagnosis</b>		
a. What are the areas of greatest need in the school? (subjects, grade levels, subgroups of students) <i>Please note that this should be informed by assessment data and qualitative assessments.</i> <div></div>		
b. What are the reasons for low performance in this school? (Please provide evidence) <div></div>		
<b>Performance Targets<sup>1</sup></b>		
a. How will the district measure the success of the intervention? <div></div>		
b. How will the district monitor school progress? <div></div>		
<b>Areas of School Redesign</b>		
What actions will the district and school take to ensure:		
a. That strong school leadership, including an effective principal, and a system that positions school leaders for success, is in place? <div></div>		
b. That teachers are effective and able to deliver high-quality instruction? <div></div>		
c. That time is being used effectively, and, if not, that a plan will be implemented to redesign the school day, week, or year to include additional time for student learning and teacher collaboration? <div></div>		

<sup>1</sup> Note that, in August 2012, the CSDE will provide each school with individualized performance targets for student achievement and graduation rates for the “all students” group and each subgroup. In this section, you should describe other measurable indicators of success – these may include attendance, discipline incidences, assessments other than the state assessment, or any other intermediate metrics that demonstrate success.



- d. That a strong instructional program is in place, one which is based on student needs and ensures that the instructional program is research-based, rigorous, and aligned with Common Core State Standards?

- e. That data is used to inform instruction and for continuous improvement, and that time is provided for collaboration on the use of data?

- f. That a school environment exists which addresses school safety and discipline and also addresses other non-academic factors that impact student achievement, such as students' social, emotional, and health needs?

- g. That ongoing mechanisms are in place which provide for family and community engagement?

### **Funding**

- a. How much funding will be made available for the interventions in this school?

- b. What sources of funding will you use for this purpose (funding sources may include, but are not limited to, Alliance District funding, Title I funds that were previously reserved for Supplemental Education Services (SES) or Public School Choice, Priority School District funds)?

## **2. Phase II: Subset of other low performing schools (2013-14 School Year)**

Please provide an explanation of the process your district will engage in during the 2012-13 school year to support schools as they diagnose and plan for the interventions that will be implemented in the following year. This section does not require a plan for the school-specific interventions themselves, as these will be developed over the course of the next year.

<b>Selection of Schools</b>
<ul style="list-style-type: none"><li>Please list the subset of low performing schools that will be part of the Phase II cohort. <input type="text"/></li></ul>
<b>Data Examination</b>
<ul style="list-style-type: none"><li>How will your district support Phase II schools as they examine data to select areas of focus for improvement? <input type="text"/></li></ul>
<b>Diagnosis</b>
<ul style="list-style-type: none"><li>What assessment tool will your district use to conduct needs assessments that address the following areas: quality of leadership, quality of instruction, curriculum, use of data, use of time, school climate, and partnerships with parents and the community? (Please attach tool to this application or describe the process the district will take to provide such tool over the course of the year.) <input type="text"/></li><li>Which person(s) will be responsible for conducting the needs assessments? <input type="text"/></li></ul>
<b>Goal Setting</b>
<ul style="list-style-type: none"><li>How will you provide support for schools in the goal-setting process? <input type="text"/></li></ul>
<b>Intervention Selection</b>
<ul style="list-style-type: none"><li>What are the criteria you will use to select appropriate interventions for low performing schools? <input type="text"/></li><li>How will you ensure that schools select appropriate interventions that are likely to lead to increased student performance? <input type="text"/></li></ul>
<b>Planning for Implementation</b>
<ul style="list-style-type: none"><li>How will you support schools in the development of comprehensive implementation plans? <input type="text"/></li></ul>
<b>Monitoring</b>
<ul style="list-style-type: none"><li>How will you monitor schools to ensure that interventions are implemented? <input type="text"/></li><li>How will you monitor schools to ensure that interventions lead to increases in student achievement?</li></ul>

<b>Timeline</b>		
<ul style="list-style-type: none"> <li>Please provide a timeline that ensures that all Phase 2 schools have complete School Redesign Plans by June 2013.</li> </ul>		

### **Section III: Budget (See accompanying budget materials)**

1. **Key Initiative Budget Summary:** Please use the table attached in additional materials to provide a high-level budget that summarizes the funding the district will allocate to each key initiative described in Section B. For each initiative, provide the existing resources and, if applicable, the Alliance District funding that will be allocated to the initiative.
2. **Key Initiative Budgets for Alliance District Funding (for new key initiatives and the expansion of existing key initiatives):** For each key initiative that will be launched or expanded with Alliance District funding, please provide a line-by-line budget that details the uses of the Alliance District funding for 2012-2013, as well as the use of other funds and the leveraging of efficiencies. Also indicate the total Alliance District funding the district anticipates allocating to the initiative in years two through five. Provide a separate budget for each initiative. Note that the total of the key initiative budgets should, in total, equal a substantial majority of the Alliance District Funding allocated to the district.
3. **Budget for Alliance District Funding for Other Purposes**
  - a. If you propose using any Alliance District funds for purposes other than for initiating or expanding reform initiatives, please provide a line by line budget for 2012-2013.
  - b. In the event that your budget proposes using any Alliance District funds for purposes other than new reforms, or the expansion of existing reforms, please attach operating budget for 2012-2013. Also provide a one page summary explaining the need for such expenditures. Please note that any expenditure of Alliance District funds not allocated for the initiation or expansion of reform initiatives must be justified in this summary.  
*(Districts may submit operating budget for 2012-13 in electronic format only)*

***Note: The total of the budgets provided in Parts 2 and 3 should, in sum, equal the total Alliance District funding allocated to the district (see Appendix A for this amount).***

4. **Total Alliance District Funding Budget:** Provide an ED114 budget that includes all Alliance District funding expenditures. The total of this ED114 budget should equal the sum of the budgets provided in Parts 2 and 3 and should, in sum, equal the total Alliance District funding allocated to the district (see Appendix A for this amount).

**List of Appendices:**

Appendix A – List of Eligible Districts and Amount of ECS Funds

Appendix B – Legislation

Appendix C – Statement of Assurances

## **Appendix A: List of Alliance Districts and 2012-13 Alliance District Funding**

Ansonia	539,715
Bloomfield	204,550
Bridgeport	4,404,227
Bristol	1,390,182
Danbury	1,696,559
Derby	280,532
East Hartford	1,714,744
East Haven	489,867
East Windsor	168,335
Hamden	882,986
Hartford	4,808,111
Killingly	380,134
Manchester	1,343,579
Meriden	1,777,411
Middletown	796,637
Naugatuck	635,149
New Britain	2,654,335
New Haven	3,841,903
New London	809,001
Norwalk	577,476
Norwich	1,024,982
Putnam	179,863
Stamford	920,233
Vernon	671,611
Waterbury	4,395,509
West Haven	1,381,848
Winchester	207,371
Windham	763,857
Windsor	306,985
Windsor Locks	252,306

## **Appendix B: Alliance District statutory references from PA 12-116 An Act Concerning Educational Reform**

Sec. 34. (NEW) (Effective July 1, 2012) (a) As used in this section and section 10-262i of the general statutes, as amended by this act:

(1) "Alliance district" means a school district that is in a town that is among the towns with the lowest district performance indices.

(2) "District performance index" means the sum of the district subject performance indices for mathematics, reading, writing and science.

(3) "District subject performance index for mathematics" means thirty per cent multiplied by the sum of the mastery test data of record, as defined in section 10-262f of the general statutes, for a district for mathematics weighted as follows: (A) Zero for the percentage of students scoring below basic, (B) twenty-five per cent for the percentage of students scoring at basic, (C) fifty per cent for the percentage of students scoring at proficient, (D) seventy-five per cent for the percentage of students scoring at goal, and (E) one hundred per cent for the percentage of students scoring at advanced.

(4) "District subject performance index for reading" means thirty per cent multiplied by the sum of the mastery test data of record, as defined in section 10-262f of the general statutes, for a district for reading weighted as follows: (A) Zero for the percentage of students scoring below basic, (B) twenty-five per cent for the percentage of students scoring at basic, (C) fifty per cent for the percentage of students scoring at proficient, (D) seventy-five per cent for the percentage of students scoring at goal, and (E) one hundred per cent for the percentage of students scoring at advanced.

(5) "District subject performance index for writing" means thirty per cent multiplied by the sum of the mastery test data of record, as defined in section 10-262f of the general statutes, for a district for writing weighted as follows: (A) Zero for the percentage of students scoring below basic, (B) twenty-five per cent for the percentage of students scoring at basic, (C) fifty per cent for the percentage of students scoring at proficient, (D) seventy-five per cent for the percentage of students scoring at goal, and (E) one hundred per cent for the percentage of students scoring at advanced.

(6) "District subject performance index for science" means ten per cent multiplied by the sum of the mastery test data of record, as defined in section 10-262f of the general statutes, for a district for science weighted as follows: (A) Zero for the percentage of students scoring below basic, (B) twenty-five per cent for the percentage of students scoring at basic, (C) fifty per cent for the percentage of students scoring at proficient, (D) seventy-five per cent for the percentage of students scoring at goal, and (E) one hundred per cent for the percentage of students scoring at advanced.

(7) "Educational reform district" means a school district that is in a town that is among the ten lowest district performance indices when all towns are ranked highest to lowest in district performance indices scores.

(b) For the fiscal year ending June 30, 2013, the Commissioner of Education shall designate thirty school districts as alliance districts. Any school district designated as an alliance district shall be so designated for a period of five years. On or before June 30, 2016, the Department of Education shall determine if there are any additional alliance districts.

(c) (1) For the fiscal year ending June 30, 2013, and each fiscal year thereafter, the Comptroller shall withhold from a town designated as an alliance district any increase in funds received over the amount the town received for the prior fiscal year pursuant to section 10-262h of the general statutes, as amended by this act. The Comptroller shall transfer such funds to the Commissioner of Education.

(2) Upon receipt of an application pursuant to subsection (d) of this section, the Commissioner of Education may award such funds to the local or regional board of education for an alliance district on the condition that such funds shall be expended in accordance with the plan described in subsection (d) of this section and any guidelines developed by the State Board of Education for such funds. Such funds shall be used to improve student achievement in such alliance district and to offset any other local education costs approved by the commissioner.

(d) The local or regional board of education for a town designated as an alliance district may apply to the Commissioner of Education, at such time and in such manner as the commissioner prescribes, to receive any increase in funds received over the amount the town received for the prior fiscal year pursuant to section 10-262h of the general statutes, as amended by this act. Applications pursuant to this subsection shall include objectives and performance targets and a plan that may include, but not be limited to, the following: (1) A tiered system of interventions for the schools under the jurisdiction of such board based on the needs of such schools, (2) ways to strengthen the foundational programs in reading to ensure reading mastery in kindergarten to grade three, inclusive, with a focus on standards and instruction, proper use of data, intervention strategies, current information for teachers, parental engagement, and teacher professional development, (3) additional learning time, including extended school day or school year programming administered by school personnel or external partners, (4) a talent strategy that includes, but is not limited to, teacher and school leader recruitment and assignment, career ladder policies that draw upon guidelines for a model teacher evaluation program adopted by the State Board of Education, pursuant to section 10-151b of the general statutes, as amended by this act, and adopted by each local or regional board of education. Such talent strategy may include provisions that demonstrate increased ability to attract, retain, promote and bolster the performance of staff in accordance with performance evaluation findings and, in the case of new personnel, other indicators of effectiveness, (5) training for school leaders and other staff on new teacher evaluation models, (6) provisions for the cooperation and coordination with early childhood education providers to ensure alignment with district expectations for student entry into kindergarten, including funding for an existing local Head Start program, (7) provisions for the cooperation and coordination with other governmental and community programs to ensure that students receive adequate support and wraparound services, including community school models, and (8) any additional categories or goals as determined by the commissioner. Such plan shall demonstrate collaboration with key stakeholders, as identified by the commissioner, with the goal of achieving efficiencies and the alignment of intent and practice of current programs with conditional programs identified in this subsection. The commissioner may require changes in any plan submitted by a local or regional board of education before the commissioner approves an application under this subsection.

(e) The State Board of Education may develop guidelines and criteria for the administration of such funds under this section.

(f) The commissioner may withhold such funds if the local or regional board of education fails to comply with the provisions of this section. The commissioner may renew such funding if the local or regional board of education provides evidence that the school district of such board is achieving the objectives and performance targets approved by the commissioner stated in the plan submitted under this section.

(g) Any local or regional board of education receiving funding under this section shall submit an annual expenditure report to the commissioner on such form and in such manner as requested by the commissioner. The commissioner shall determine if (A) the local or regional board of education shall repay any funds not expended in accordance with the approved application, or (B) such funding should be reduced in a subsequent fiscal year up to an amount equal to the amount that the commissioner determines is out of compliance with the provisions of this subsection.

(h) Any balance remaining for each local or regional board of education at the end of any fiscal year shall be carried forward for such local or regional board of education for the next fiscal year.

## **STATEMENT OF ASSURANCES**

CONNECTICUT STATE DEPARTMENT OF EDUCATION



STANDARD STATEMENT OF ASSURANCES  
GRANT PROGRAMS

**PROJECT TITLE:**

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**THE APPLICANT:**

\_\_\_\_\_ HEREBY ASSURES THAT:

\_\_\_\_\_  
(insert Agency/School/CBO Name)

- A.** The applicant has the necessary legal authority to apply for and receive the proposed grant;
- B.** The filing of this application has been authorized by the applicant's governing body, and the undersigned official has been duly authorized to file this application for and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application;
- C.** The activities and services for which assistance is sought under this grant will be administered by or under the supervision and control of the applicant;
- D.** The project will be operated in compliance with all applicable state and federal laws and in compliance with regulations and other policies and administrative directives of the State Board of Education and the Connecticut State Department of Education;
- E.** Grant funds shall not be used to supplant funds normally budgeted by the agency;
- F.** Fiscal control and accounting procedures will be used to ensure proper disbursement of all funds awarded;
- G.** The applicant will submit a final project report (within 60 days of the project completion) and such other reports, as specified, to the Connecticut State Department of Education, including information relating to the project records and access thereto as the Connecticut State Department of Education may find necessary;
- H.** The Connecticut State Department of Education reserves the exclusive right to use and grant the right to use and/or publish any part or parts of any summary, abstract, reports, publications, records and materials resulting from this project and this grant;
- I.** If the project achieves the specified objectives, every reasonable effort will be made to continue the project and/or implement the results after the termination of state/federal funding;
- J.** The applicant will protect and save harmless the State Board of Education from financial loss and expense, including legal fees and costs, if any, arising out of any breach of the duties, in whole or part, described in the application for the grant;
- K.** At the conclusion of each grant period, the applicant will provide for an independent audit report acceptable to the grantor in accordance with Sections 7-394a and 7-396a of the Connecticut General Statutes, and the

applicant shall return to the Connecticut State Department of Education any moneys not expended in accordance with the approved program/operation budget as determined by the audit;

**L. REQUIRED LANGUAGE (NON-DISCRIMINATION)**

1) References in this section to “contract” shall mean this grant agreement and references to “contractor” shall mean the Grantee.

For the purposes of this section, “Commission” means the Commission on Human Rights and Opportunities.

For the purposes of this section “minority business enterprise” means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) Who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise and (3) who are members of a minority, as such term is defined in subsection (a) of section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. “Good faith efforts” shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements.

2) (a) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut. The contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved; (b) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the Commission; (c) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (d) the contractor agrees to comply with each provision of this section and sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to sections 46a-56, 46a-68e and 46a-68f; (e) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor as relate to the provisions of this section and section 46a-56.

3) Determination of the contractor’s good faith efforts shall include but shall not be limited to the following factors: the contractor’s employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

4) The contractor shall develop and maintain adequate documentation, in a manner prescribed by the Commission, of its good faith efforts.

5) The contractor shall include the provisions of section (2) above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

6) The contractor agrees to comply with the regulations referred to in this section as the term of this contract and any amendments thereto as they exist on the date of the contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.

7) (a) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the state of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (b) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (c) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to section 46a-56; (d) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor which relate to the provisions of this section and section 46a-56.

8) The contractor shall include the provisions of section (7) above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

**M.** The grant award is subject to approval of the Connecticut State Department of Education and availability of state or federal funds.

**N.** The applicant agrees and warrants that Sections 4-190 to 4-197, inclusive, of the Connecticut General Statutes concerning the Personal Data Act and Sections 10-4-8 to 10-4-10, inclusive, of the Regulations of Connecticut State Agencies promulgated there under are hereby incorporated by reference.

I, the undersigned authorized official; hereby certify that these assurances shall be fully implemented.

Superintendent Signature: \_\_\_\_\_

Name: *(typed)* \_\_\_\_\_

Title: *(typed)* \_\_\_\_\_

Date: \_\_\_\_\_